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J 1031  
10/13/01  
S PRO

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. YOR9-2001-0363US1 (8728-519)

First Inventor Philip Shi-lung Yu

Title Method for Building Space-Splitting Decision Tree

Express Mail Label No. EL822652986US

1109/918952  
07/31/01  
S PRO1109/918952  
07/31/01  
S PRO

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification [Total Pages 47]  
(preferred arrangement set forth below)
 

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [ Total Sheets 12 ]

5. Oath or Declaration [ Total Pages 2 ]  
 a.  Newly executed (original or copy)  
 b.  Copy from a prior application (37 CFR 1.63 (d))  
 (for continuation/divisional with Box 18 completed)
 

- i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
 

- a.  Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
  - i.  CD-ROM or CD-R (2 copies); or
  - ii.  paper
- c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  Power of  
(when there is an assignee)  Attorney

11.  English Translation Document (if applicable)

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS  
Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16.  Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent. PTO/SB/17

17.  Other: Associate Power of Attorney

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)			<input checked="" type="checkbox"/> Correspondence address below
Name	Frank Chau			
Address	F. CHAU & ASSOCIATES, LLP 1900 Hempstead Turnpike, Suite 501			
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Name (Print/Type)	Gaspare J. Randazzo	Registration No. (Attorney/Agent)	41,528
Signature	<i>Gaspare J. Randazzo</i>		Date

07/31/01  
J-031 U.S. PTO

PTO/SB/17 (11-00)

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** **(\$)** 840.00

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	Philip Shi-lung Yu
Examiner Name	
Group Art Unit	
Attorney Docket No.	YOR9-2001-0363US1 (8728-519)

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50-0510/IBM  
Deposit Account Name IBM/Yorktown Heights

Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

Applicant claims small entity status.  
See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for <i>ex parte</i> reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	390	216 195 Extension for reply within second month	
117	890	217 445 Extension for reply within third month	
118	1,390	218 695 Extension for reply within fourth month	
128	1,890	228 945 Extension for reply within fifth month	
119	310	219 155 Notice of Appeal	
120	310	220 155 Filing a brief in support of an appeal	
121	270	221 135 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,240	241 620 Petition to revive - unintentional	
142	1,240	242 620 Utility issue fee (or reissue)	
143	440	243 220 Design issue fee	
144	600	244 300 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR 1.17(a)	
126	240	126 240 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	\$40
146	710	246 355 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249 355 For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279 355 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)** 40.00

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Gaspare J. Randazzo	Registration No. (Attorney/Agent)	41,528	Telephone	(516) 357-0091
Signature	<i>Gaspare J. Randazzo</i>			Date	July 31, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231

Attorney Docket: YOR9-2001-0363US1 (8728-519)  
Date: July 31, 2001

Sir:

Transmitted herewith for filing is the patent application of:

Inventor(s): Philip Shi-lung Yu and Haixum Wang

For: METHOD FOR BUILDING SPACE-SPLITTING DECISION TREE

Enclosed are:  34 page(s) of specification;  1 page(s) of Abstract;  12 Page(s) of Claims;  
 12 Sheets of drawings

Declaration and Power of Attorney

An Assignment of the invention to International Business Machines Corporation, Armonk, New York, with PTO Form 1595.

Information Disclosure Statement, cited references and PTO Form 1449

Associate Power of Attorney

#### CALCULATION OF UTILITY APPLICATION FEE

For	Number Filed	Number Extra	Rate	Basic Fee \$710.00
TOTAL CLAIMS	25	5	x 18 =	\$90.00
INDEPENDENT CLAIMS	2	0	x 80 =	\$0
<input type="checkbox"/> Multiple Dep. Claim			270	\$0
				<b>TOTAL \$800.00</b>

Charge the amount of \$800.00 (filing fee) and \$40.00 (assignment recordation fee) to Deposit Account No. 50-0510/IBM (Yorktown Heights).

The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.

Any additional filing fees required under 37 C.F.R. §1.16.

Any patent application processing fees under 37 C.F.R. §1.17.

Date: July 31, 2001



Gaspare J. Randazzo

Reg. No. 41,528

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**Attorney for:**

IBM Corporation  
Intellectual Property Department  
P.O. Box 218  
Yorktown Heights, NY 10598

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**CERTIFICATION UNDER 37 C.F.R. § 1.10**

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date July 31, 2001 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL822652986US addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.



Gaspare J. Randazzo